

Federal Monitoring

Business rules

1. All Federal program monitoring will include the following:

1.1. Desk audit

- 1.1.1. Data review
- 1.1.2. To be conducted at DESE
- 1.1.3. Will include 100% of the agencies for annual reporting requirements
- 1.1.4. Will include 100% of cohort for designated cyclical review requirements

1.2. Self-assessment (SA)

- 1.2.1. 100% of the cohort
- 1.2.2. SA opens to districts in October of each year
- 1.2.3. SA due date is determine by each program, with the intent of having all SAs completed by August 1 of each year.
- 1.2.4. SA results will be reported.
- 1.2.5. Results will be used in the determination of the level of additional monitoring required

1.3. SA Corrective Action Plan (CAP)

- 1.3.1. Based on SA results
- 1.3.2. Will include clearly stated timeline for correction

1.4. Onsite Review or Phone Interview

- 1.4.1. 10% of the cohort will receive onsite
- 1.4.2. 10% of the cohort will receive a phone interview
- 1.4.3. By August 1st, all self-assessments will be completed for the cohort
- 1.4.4. Between August 1 and September 1, all federal programs will come to an agreement as to which districts/agencies will receive an onsite review and which district/agencies will receive a phone interview.
- 1.4.5. September 1 – September 15 district will be notified of an onsite or phone interview.
- 1.4.6. Onsite reviews and phone interviews for all programs will occur within a designated 2 -3 week period.
- 1.4.7. Onsite/phone interview results will be reported.

1.5. Onsite Corrective Action Plan (CAP)

- 1.5.1. Based on results of the Onsite
- 1.5.2. Will include clearly stated timeline for correction

2. Special Education Monitoring (in addition to the above items)

- 2.1. If necessary, additional districts from the cohort may be added to the onsite list to ensure adequate monitoring coverage
- 2.2. Reviews may include individual student corrective action plan (I-CAP) (see 1.3 and 1.5)

3. Title I(in addition to the above items)

- 3.1. If necessary, additional districts from the cohort may be added to the onsite list to ensure adequate monitoring coverage

4. Perkins (in addition to the above items)

- 4.1. Financial

- 4.1.1. If necessary, additional districts/agencies may be added to the onsite list to ensure adequate monitoring coverage for each program
- 4.2. Programmatic
 - 4.2.1.
- 5. Financial (in addition to the above items)**
 - 5.1. All districts will submit SA Audit information each year
 - 5.2. Preliminary review will be conducted on SA
 - 5.3. Percentage of the cohort will have a more comprehensive review
- 6. Title II (in addition to the above items)**
 - 6.1. If necessary, additional districts from the cohort may be added to the onsite list to ensure adequate monitoring coverage
- 7. 21st Century Community Learning Center – Afterschool Grant**
 - 7.1. If necessary, additional districts from the cohort may be added to the onsite list to ensure adequate monitoring coverage
- 8. School Age Community – Afterschool Grant**
 - 8.1. If necessary, additional districts from the cohort may be added to the onsite list to ensure adequate monitoring coverage
- 9. Perkins Secondary Grant**
 - 9.1. Financial
 - 9.1.1. If necessary, additional districts/agencies may be added to the onsite list to ensure adequate monitoring coverage for each program (see 1.4.3)
 - 9.2. Programmatic
- 10. Perkins Postsecondary Grant**
 - 10.1. Financial
 - 10.1.1. If necessary, additional districts/agencies may be added to the onsite list to ensure adequate monitoring coverage for each program (see 1.4.3)
 - 10.2. Programmatic
- 11. Adult Education and Literacy**
- 12. NCLB Consolidated Title I.A, School Improvement 1003 (a), Title I.D, Title II.A, Title VI Program**
- 13. NCLB Consolidated Title I.A , School Improvement 1003 (a), School Improvement (g) SIG, Title I.C, Title I.D, Title II.A, Title III Immigrant, Title III LEP, Title VI Fiscal**
- 14. Title I.C, Title III Immigrant, Title III LEP Program**
- 15. McKinney Vento Homeless**
- 16. School Improvement g (SIG) Program**
- 17. Special Education Finance**
- 18. Charter Schools**

Format for the Federal Monitoring IMACS:

Self-assessment (desk review):

- Must follow the format of :
Question – Yes/No/NA/District Resolving – Comment – Upload requirement, if necessary.
- Program can choose to have documents uploaded at the time the desk review is conducted or as part of the desk review verification process. Remember, if you ask for a document, you need to do something with that document.

Desk review

Verification of the self-assessment

- Verification through review of Documentation/Comment/Upload review
- Calls will be made by DESE reviewer verified items. May not be required for all items in the SA. If a DESE reviewer does not review a file, the districts call will be used as the final call.

SA Report will consist of:

- Cover Letter (customizable)
- Summary of the Self-assessment results
 - List of questions from the SA and the final call for each question. Will be a combination of district and DESE calls.
 - Program can chose to include comments
- Corrective Action Plan
 - Will consist of each question with a No or District Resolving
 - Program can chose to dictate activities for correction
 - Required date of correction

Corrective Action Plan (CAP) in IMACS will consist of:

- All indicators No or District Resolving
- Area for DESE to indicate activities for correction – returned to district/agency
- Area for District/Agency to indicate planned activities of correction
- Area for DESE to approve planned activities
- Area for district/agency to notify DESE when activities have been completed
- Area for DESE to approve/clear the item.

Onsite/Phone selection

- Must follow the format of:
Question – Yes/No/NA/District Resolving – Comment – Upload requirement, if necessary.
- Same questions will be asked for both onsite and phone monitoring and will be a place to designate if via onsite/phone
- Interview responses will be summarized in the comments section of each question
- Not all question will be required

Onsite/Phone Monitoring Report will consist of:

- Cover Letter (customizable)
- Summary of the Onsite/Phone Monitoring results
 - List of questions from the SA and the final call for each question. Will be a combination of district and DESE calls.
 - Program can chose to include comments
- Corrective Action Plan
 - Will consist of each question with a No or District Resolving
 - Program can chose to dictate activities for correction
 - Required date of correction

Corrective Action Plan (CAP) in IMACS will consist of:

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